

Office of Financial Institutions
PERFORMANCE PLANNING AND REVIEW POLICY

I. DEFINITION

Performance planning and review refers to the establishment of performance expectations and subsequent rating of the employee's performance in accordance with Chapter 10 of the Civil Service Rules.

II. PURPOSE

To establish responsibilities, timeframes, and requirements for performance planning and review for all OFI classified employees.

III. PERFORMANCE PLANNING AND REVIEW IN ACCORDANCE WITH CIVIL SERVICE RULES, CHAPTER 10

A. Responsibilities: An employee's direct supervisor is designated as the Rating Supervisor, and is responsible for conducting planning and rating sessions. The Rating Supervisor's supervisor serves as the Reviewer, and is responsible for reviewing all planning and rating documents prior to the Rating Supervisor discussing the planning and rating with the employee. The Administrative Director serves as the Designated Reviewer of any contested ratings, after the official rating has been assigned.

B. Performance Expectations and Planning Sessions: A performance planning session shall be conducted no later than 30 calendar days after:

1. the appointment of a new employee;
2. the anniversary date of a current employee;
3. the movement of an employee into a position having a different position number and significantly different duties.

Performance expectations are written by the supervisor and are based on the duties contained in the position description, which is to be reviewed annually when preparing performance expectations. Expectations are also based on behavioral characteristics such as cooperativeness, dependability, honesty, initiative, and judgement that are essential to good performance. A performance planning session may be conducted when an employee gets a new Rating Supervisor or when performance expectations change. Additional performance planning sessions may also be conducted as the Rating Supervisor deems appropriate. Employees must be given a copy of the planning document.

- C. Rating Sessions: A performance rating session for a new employee shall be conducted within the 60 calendar days before or on the employee's first anniversary date. For a current employee, the rating session shall take place within the 60 calendar days before or on the employee's anniversary date. When an employee is not available, the completed document may be mailed to the employee on or before the employee's anniversary date.
1. To create an official rating, the Rating Supervisor shall:
 - sign and date the completed document
 - discuss the rating with the employee
 - provide documentation to support any factor rated "Needs Improvement" or "Poor"
 - present the form to the employee to be signed and dated, and
 - give the employee a copy of the completed form with his or her official overall rating noted.
 2. Employees may receive unofficial reviews as the supervisor deems necessary to provide feedback and update expectations.
- D. Refusal to Sign Performance Planning and Review Form: An employee cannot prevent a planning session, rating or re-rating from becoming official by refusing to sign the performance planning and review form. If an employee refuses to sign any part of the form, the Rating Supervisor shall note on the form that the employee refused to sign, and the date of the Planning or Rating session.
- E. Un-Rated: Ratings of "Un-rated" shall be created by default when the employee does not receive an official rating. Employees shall be notified when a rating or re-rating of "Un-rated" has been given as an official overall rating or re-rating.
- F. Re-Ratings: An employee whose official overall rating is "Needs Improvement" or "Poor" shall be re-rated. The re-rating is due 6 months after the employee's anniversary date. The re-rating may be given up to 60 calendar days prior to or on the re-rating due date.
- G. Review of Ratings---Agency Review: A permanent employee who disagrees with any official rating or re-rating (including an "Unrated" rating) has the right to have the rating reviewed by the Designated Reviewer, or by the Commissioner if the Designated Reviewer was either the Rating Supervisor or Reviewer for the contested rating.
1. A written request for review must be received in Human Resources no later than 15 calendar days after the employee's anniversary date or, for a re-rating, no later than 15 calendar days after the day that falls six months after the employee's anniversary date. In the request for review, the employee must explain why he/she believes a higher rating is warranted

and must attach whatever supporting documentation he or she wants the Designated Reviewer to consider.

2. The Designated Reviewer shall review the request and notify the employee and the Rating Supervisor, in writing, of the results of the review within 30 calendar days of receipt. Any change in rating shall be retroactive to the anniversary date or in the case of a contested re-rating, on the day that falls six months after the employee's anniversary date.

H. Review of Ratings---Appeal to the Director of Civil Service: A permanent employee who disagrees with the agency Designated Reviewer's decision has a right to have his/her PPR file reviewed by the Director or the Director's designee.

1. The appeal must be postmarked or received by the Director within 30 calendar days following the date the employee received a copy of the Designated Reviewer's decision. In the appeal, the employee must explain why there was no basis for the contested rating.
2. If the appeal is timely, the Director or his designee shall obtain and review the employee's PPR file. When the Director or his designee finds that the agency violated any Chapter 10 rule, or that there was no documented, rational basis for a rating, the Director may order any contested rating changed as he deems appropriate. Insofar as practicable, the Director shall provide a written decision to the employee, the Rating Supervisor, and the Designated Reviewer within 30 calendar days following the date the appeal was filed.

APPROVED BY:



John Ducrest, CPA
Commissioner

March 8, 2005
Date